

REPORTING

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NOTES

CHAPTER 9: REPORTING

INTRODUCTION

This chapter provides overview of the federal and state reporting requirements related to Community Development Block Grant (CDBG) Program. It is important to use the correct reporting forms. Contact the assigned Division of Energy, Housing and Community Resources (DEHCR) Project Representative for the most current form.

CDBG programs must report certain accomplishments semi-annually, while other accomplishments are reported annually (e.g. the *Annual Section 3 Report* and the *Annual Single Audit Statement letter*). The *Grant Agreement* will designate document submission due dates and activity completion benchmarks for the project. UGLGs are required to follow the *Grant Agreement Timetable*. See Attachment 9-G for a sample *Grant Agreement Timetable*.

IMPORTANT REMINDER!

Reporting requirements are subject to change at any time during the performance period per HUD and DEHCR requirements.

Review the *Reporting Requirement Checklist* (Attachment 9-F) for more information on required reporting forms and deadlines. Refer to the other chapters in this handbook to confirm compliance with reporting requirements.

The timeliness of reporting is critical to maintain project compliance and avoid disruption in the CDBG payment approval process. **Lack of timely reporting will impact the processing of payment requests.**

IMPORTANT REMINDER!

Failure to complete and submit all required reports in a timely manner will impact the processing of payment requests.

SEMI-ANNUAL REPORTS

Semi-Annual Reports are required to provide updates on the status of the project to DEHCR. In addition, HUD monitors the states to report accomplishments promptly to Congress. The UGLG is required to follow their *Grant Agreement* timetable and scope of work to provide accurate and timely information about the project.

The semi-annual reporting requirement begins when the UGLG receives a copy of the fully executed (i.e. “fully signed”) *Grant Agreement* from DEHCR, and continues until the UGLG has submitted the *Project Completion Report* and all supporting documents for the project.

The reporting periods and due dates for the *Semi-Annual Reports* are as follows:

- For the period of **April 1st through September 30th** – the report is due **no later than October 15th**! Reports received after this date will be considered late and may impact the approval of CDBG payment requests.
- For the period of **October 1st through March 31st** – the report is due **no later than April 15th**! Reports received after this date will be considered late and may impact the approval of CDBG payment requests.

DEHCR reserves the right to modify reporting periods and due dates for the *Semi-Annual Reports*, as needed.

IMPORTANT REMINDER!

The semi-annual reporting requirement begins when the *Grant Agreement* is fully executed (i.e. signed by DOA), and continues until the UGLG has submitted the *Project Completion Report* and all supporting documents for the project.

The following required *Semi-Annual Report Forms* are attached to this chapter:

- *Semi-Annual Report Certification* (Attachment 9-A);
- *Semi-Annual Summary Narrative* (Attachment 9-B);
- *Semi-Annual Labor Standards Report* (Attachment 9-C)
- *Semi-Annual MBE/WBE Report* (Attachment 9-D); and
- *Semi-Annual & Annual Section 3 Reports* (Attachment 9-E).

If the assigned DEHCR Project Representative has provided additional instruction or updated forms, please use that guidance.

It is the responsibility of the UGLG to monitor and report on the performance of sub-recipients and contractors during the contractual performance period. The UGLG **must** submit complete reports to DEHCR in a timely manner.

SINGLE AUDIT REPORT

In addition to semi-annual reports, the UGLG must establish whether the Single Audit requirements listed in Uniform Guidance 2 CFR 200 apply (please refer to *Chapter 11: Single Audit*). The UGLG must submit a *Single Audit Statement Letter* (Attachments 11-B and 11-C) **by January 15th** of each calendar year for the duration of the *Grant Agreement*.

If applicable, the *Single Audit Report* is due by September 30th of each calendar year for the duration of the *Grant Agreement*. Further instructions on how to submit a full *Single Audit Report* are included in *Chapter 11 – Single Audit*.

LABOR STANDARDS REPORT

The U.S. Department of Labor (USDOL) requires federal agencies administering programs subject to Davis-Bacon and Related Acts (DBRA) and Contract Work Hours and Safety Standards Act (CWHSSA) to furnish a ***Semi-Annual Labor Standards Enforcement Report (LSER) (Attachment 9-C), even if the number of hours worked for the reporting period are equal to zero.*** If the assigned DEHCR Project Representative has provided additional instruction or updated forms, please use that guidance.

The *Semi-Annual LSER* is due to DEHCR per the *Grant Agreement Timetable*. This report is often due prior to the end of the reporting period. If there is additional activity between the report due date and the end of the reporting period, the UGLG may include the previously unreported information with the next report.

The reporting periods and due dates for the *Semi-Annual Labor Standards Enforcement Reports* are as follows unless the UGLG is notified by the DEHCR Project Representative of another submission date:

- For the period of **April 1st through September 30th** – the report is due **no later than September 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests.
- For the period of **October 1st through March 31st** – the report is due **no later than March 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests.

DEHCR reserves the right to modify reporting periods and due dates for the *Labor Standards Enforcement Report* as needed.

EQUAL OPPORTUNITY

Chapter 6 of the *CDBG-PF & CDBG-PLNG Implementation Handbook* describes the requirements related to Civil Rights Laws, including Equal Opportunity and Fair Housing. Please refer to chapter 6 for more detailed information.

Reporting for Equal Opportunity compliance includes:

- *MBE/WBE Reports* (Attachment 9-D) – due with the *Semi-Annual Report*,
- *Fair Housing Report* (Attachment 10-C)

The reporting periods and due dates for the *Semi-Annual MBE/WBE Reports* are as follows unless the UGLG is notified by the DEHCR Project Representative of another submission date:

- For the period of **April 1st through September 30th** – the report is due **no later than September 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests; and
- For the period of **October 1st through March 31st** – the report is due **no later than March 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests.

The reporting periods and due dates for Fair Housing are:

- *Fair Housing Actions* – follow the *Grant Agreement Timetable* for due date. Report progress on Fair Housing Actions on the *Semi-Annual Summary Narratives*; and
- *Fair Housing Report* (Attachment 10-C) is due with Project Completion documents

SECTION 3 REPORT

The Section 3 provisions require that recipients of CDBG funding, to the greatest extent feasible, provide job training, employment and contracting opportunities for LMI residents and for low- or very-low income businesses in connection with projects and activities in their communities. *Section 3 Reports* (Attachment 9-E) are required annually for the period of October 1 – September 30 each year and semi-annually for the periods of October 1 – March 31 and April 1 – September 30.

More information on Section 3 requirements is included in *Chapter 6 - Equal Opportunity, Fair Housing and Section 3*.

SUBMITTAL

DEHCR prefers electronic submittal(s) but paper copies are acceptable (one copy). There is no need to mail originals, if reports are submitted by email. However, originals must be kept in the UGLG's project files.

Email Submittals: *DOADEHCRCommunityDevelopment@wisconsin.gov*

Mail: Bureau of Community Development
Attn: (Project Representative's Name)
Division of Energy, Housing and Community Resources –
Department of Administration
P.O. Box 7970
Madison, WI 53707-7970

Disclaimer: Reporting requirements are subject to change at any time during the performance period per HUD and DEHCR requirements.

ATTACHMENTS

Attachments for this chapter are listed below:

- ATTACHMENT 9-A: UGLG SEMI-ANNUAL REPORT CERTIFICATION (TEMPLATE)
- ATTACHMENT 9-A1: UGLG SEMI-ANNUAL REPORT CERTIFICATION (SAMPLE)
- ATTACHMENT 9-A2: UGLG SEMI-ANNUAL REPORT CERTIFICATION (INSTRUCTIONS)
- ATTACHMENT 9-B: SUMMARY NARRATIVE FORM (TEMPLATE)
- ATTACHMENT 9-B1: SUMMARY NARRATIVE FORM (SAMPLE)
- ATTACHMENT 9-B2: SUMMARY NARRATIVE (INSTRUCTIONS)
- ATTACHMENT 9-C: SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT (TEMPLATE)
- ATTACHMENT 9-C2: SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT (INSTRUCTIONS)
- ATTACHMENT 9-D: MBE/WBE REPORT (TEMPLATE)
- ATTACHMENT 9-D2: MBE/WBE REPORT (DEFINITIONS AND INSTRUCTIONS)
- ATTACHMENT 9-E: SECTION 3 REPORT (TEMPLATE)
- ATTACHMENT 9-F: REPORTING REQUIREMENTS CHECKLIST
- ATTACHMENT 9-G: GRANT AGREEMENT TIMETABLE

ATTACHMENT 9-A: UGLG SEMI-ANNUAL REPORT CERTIFICATION (TEMPLATE)

UGLG SEMI-ANNUAL REPORT CERTIFICATION

Wisconsin's Community Development Block Grant Program

A. NAME OF UGLG
B. GRANT AGREEMENT #
C. BUSINESS NAME
D. REPORTING PERIOD ENDED

SEMIANNUAL REPORT DOCUMENTS ATTACHED:	
	<i>UGLG Semiannual Report Certification</i>
	<i>Summary Narrative</i>
	<i>Semiannual Labor Standards Enforcement Report</i>
	<i>Business Matching Funds Journal (PFED Only)</i>
	<i>MBE/WBE Report</i>
	<i>Section 3 Report</i>

PREPARER CERTIFICATION	
I hereby certify that to the best of my knowledge and belief the contents in this report are true and correct.	
Signature	Date
Title	Telephone
Company	Email

UGLG APPROVAL	
UGLG Signature	Date

ATTACHMENT 9-A1: UGLG SEMI-ANNUAL REPORT CERTIFICATION (SAMPLE)**UGLG SEMI-ANNUAL REPORT CERTIFICATION**

Wisconsin's Community Development Block Grant Program

A. NAME OF UGLG Village of Yourville
B. GRANT AGREEMENT # PF/PFED/PLNG 00-00
C. BUSINESS NAME Not Applicable
D. REPORTING PERIOD ENDED September 30 or March 31

SEMI-ANNUAL REPORT DOCUMENTS ATTACHED:	
X	<i>UGLG Semiannual Report Certification (Attachment 9-A)</i>
X	<i>Summary Narrative (Attachment 9-B)</i>
X	<i>Semiannual Labor Standards Enforcement Report (Attachment 9-C)</i>
	<i>Business Matching Funds Journal (PFED Only) (Attachment 8-H)</i>
X	<i>WBE/MBE Report (Report Only) (Attachment 9-D)</i>
X	<i>Section 3 Report (Attachment 9-E)</i>

PREPARER CERTIFICATION	
I hereby certify that to the best of my knowledge and belief the contents in this report are true and correct.	
Signature <i>Mary Smith</i>	Date <i>1/2/2013</i>
Title <i>Grant Administrator</i>	Telephone <i>123/456-7890</i>
Company <i>ABC Company</i>	Email <i>msmith@email.com</i>

UGLG APPROVAL	
UGLG Signature	Date

**ATTACHMENT 9-A2: UGLG SEMI-ANNUAL REPORT CERTIFICATION
(INSTRUCTIONS)**

UGLG SEMI-ANNUAL REPORT CERTIFICATION

Instructions:

1. Enter the name of the UGLG, CDBG contract number, business name (for PFED projects only), and the reporting period end date.
2. Indicate which semi-annual report documents are attached.
3. The preparer must sign and date the “Preparer Certification.”
4. Submit **one** copy to DEHCR.

ATTACHMENT 9-B: SUMMARY NARRATIVE FORM (TEMPLATE)

A. NAME OF UGLG
B. GRANT AGREEMENT #

THIS REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS

UPDATE ON PREVIOUS REPORTING PERIODS	
DELAYED OBJECTIVE	UPDATE

ATTACHMENT 9-B1: SUMMARY NARRATIVE FORM (SAMPLE)

A. NAME OF UGLG Village of Yourville
B. GRANT AGREEMENT # PF 00-00

THE REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS
Commence Construction. Report construction start date.	Construction began _____. Sewer Main Construction, Inc. The subcontractor placed ____ inch pipes from ____ Street to ____ Street.
Complete construction site signage in Accordance with Section 2 of this Contract (for above-ground work).	Water mains were also placed, by _____. Construction from ____ Avenue to ____ Avenue. The required 4'X8' sign has been placed in front of the project site between ____ Street and ____ Avenue (see attached photo). The sign was installed on ____ (date).
Complete and describe Affirmative Fair Housing Action Committed in UGLG's application.	Fair housing posters have been displayed at all municipal offices on ____ (date), as well as the public library and Community Center. Fair housing information has also been made available in the same locations. Documentation of fair housing actions is attached.

UPDATE ON PREVIOUS REPORTING PERIODS	
DELAYED OBJECTIVE	UPDATE
Continue construction. Describe progress and any delays.	Street repairs scheduled to be completed during the previous reporting period, but delayed due to adverse weather conditions, were completed during the current reporting period.

ATTACHMENT 9-B2: SUMMARY NARRATIVE (INSTRUCTIONS)

Instructions:

1. Enter the name of the UGLG and the *Grant Agreement* number.
2. In the “Objectives” section, list **all** the activities identified for the reporting period in the *Grant Agreement Timetable*. Do not insert additional objectives. In the “Accomplishments” section, describe the progress made on each objective, in detail, as well as any problems encountered and their resolution. Provide meaningful information such as names and dates of administration or contractors hired.
3. In the “Delayed Objectives” section, list **only** those activities that were to be accomplished in a previous report, but had **not** been reported as completed. In the “Update” Section, describe the progress made, in detail, on each delayed objective, any problems encountered, and their resolution. **If all activities scheduled for previous reports have been completed, leave this section blank.**

ATTACHMENT 9-C: SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT (TEMPLATE)

UNIT OF GENERAL LOCAL GOVERNMENT (UGLG) NAME: _____
DOA-DEHCR CDBG Grant Agreement #: _____

SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT REPORT

for Community Development Block Grant
(CDBG) Program Projects

Reporting Period Covered: _____ / ____ / ____ through _____ / ____ / ____ .

This Report is **due to the Division on or before:** _____ / ____ / ____ .

CDBG Semi-Annual Labor Standards Enforcement Report:

- 1) Enter the total number of prime contracts, awarded this six (6) month period, that are subject to Davis-Bacon and Related Acts (DBRA) and/or the Contract Work Hours and Safety Standards Act (CWHSSA). Track contracts by award dates or start dates of construction – **DO NOT track by bid opening date:** _____

- 2) Enter the total dollar amount of prime contracts reported above: \$ _____

- 3) Supply the indicated information for each contract awarded during the reporting period: *

Employer:	Project Type(s):	Bid Opening Date: (mm/dd/yyyy)	CDBG-Related Contract Amount:	Contract Award Date: (mm/dd/yyyy)	Wage Decision & Modification Number:	Wage Decision Effective Date: (mm/dd/yyyy)
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /
		/ /	\$ 0	/ /		/ /

- a) Construction start date: _____ / ____ / ____ ☐ N/A
b) Is construction completed? ☐ Yes ☐ No
c) Construction completion date: _____ / ____ / ____ ☐ N/A

Revised: 9/6/2016

(continued on the next page)

- 4) Enter the employers (contractors, subcontractors, lower-tier subcontractors) against whom complaints, investigations or §5.11 hearings were received during the reporting period. *

Employer	Project	HUD or DOL	Investigations or Hearings

- 5) Enter the information relative to wage restitution that was collected and/or disbursed during this six (6) month period. This includes: restitution disbursed by the grantee, restitution reported on certified payroll correction report, and amounts collected but not disbursed because workers could not be found.

a) Enter the total number of workers for whom wage restitution was collected and/or disbursed during this six (6) month period: _____

b) Enter the total amount of wage restitution collected and/or disbursed during this six (6) month period:

Straight time: \$ _____

Overtime: \$ _____

c) Enter the total amount of liquidated damages collected during this six (6) month period for Contract Work Hours and Safety Standards Act overtime violations: _____

\$ _____

* Use additional pages if necessary.

Typed Name of the Designated Labor Standards Officer

Labor Standards Officer

Title

Date

PLEASE NOTE: Download this form from <http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development>, or contact the assigned DEHCR Project Representative, to ensure the current version of this form for proper report submission has been obtained.

ATTACHMENT 9-C2: SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT (INSTRUCTIONS)

Instructions:

The Unit of General Local Government (UGLG) must fill-in & submit this *Semi-Annual Labor Standards Enforcement Report* form in accordance with the reporting schedule established in the UGLG's CDBG Grant Agreement.

- Fill-in the **Labor Standards Enforcement Report** "UGLG Name" and the "DOA-DEHCR Grant Agreement Number" fields found in the upper right corner on the first page of the form.
- The report information must include any construction contract awards made and/or all active payroll monitoring of on-going construction projects conducted during the 6-month reporting period listed on the first page of the form.
 - If there were no new construction contracts awarded during the 6-month reporting period, submit zeros or "N/A" answers to questions #1-3. Responses are required from all UGLGs with open/active CDBG Projects (i.e. projects not yet certified by DEHCR as being "completed").
 - If no active payroll monitoring was conducted during the 6-month reporting period, submit zeros or "N/A" answers to questions #4 & #5. Responses are required from all UGLGs with open/active CDBG Projects (i.e. projects not yet certified by DEHCR as being "completed").
- The **Labor Standards Enforcement Report** form must be completed by the UGLG's designated CDBG Labor Standards Officer. Make sure to provide the typed name and title of the designated CDBG Labor Standards Officer. Fill-in the date the form is completed by the designated CDBG Labor Standards Officer.

Retain the original completed form for your grant files, and send a copy (either via USPS or email) to your assigned CDBG Grant Project Representative in the Division of Energy, Housing and Community Resources (DEHCR).

Email Submittals: DOADEHCRCommunityDevelopment@wisconsin.gov

Mail: Attn: (Project Representative's Name)
Bureau of Community Development
Division of Energy, Housing and Community Resources –
Department of Administration
P.O. Box 7970
Madison, WI 53707-7970

PLEASE NOTE: If any new contracts are awarded or any wage restitution payments are collected after the submittal of this report to **DEHCR** for the reporting period covered on **this** report, the contract award and restitution payment **information must be included on the next Semi-Annual Report submission to DEHCR.**

ATTACHMENT 9-D: MBE/WBE REPORT (TEMPLATE)

Division of Energy, Housing and Community Resources

MBE/WBE Report Form

FEDERAL GRANT #:

- ☐ B – _____ – DC – 55 – 0001 (CDBG)
☐ B – _____ – DI – 55 – 0001 (Disaster Recovery)
☐ E – _____ – CD – 55 – 0001 (ESG)
☐ B – _____ – DF – 55 – 0001 (Midwest)
☐ B – _____ – DN – 55 – 0001 (NSP)
☐ M – _____ – SG – 55 – 0001 (HOME)

For DEHCR Use ONLY

GRANTEE/UGLG NAME: _____

DEHCR GRANT AGREEMENT #: _____

MBE/WBE REPORT

Program (Choose One):

- ☐ Community Development Program
☐ HOME RHD / HHR
☐ Housing Program
☐ ESG

Report Type (Choose One):

- ☐ Semi-Annual Report
☐ Quarterly Report

Reporting Period Covered (Choose One):

Semi-Annual Report:

- ☐ April 1 – September 30, 20__
☐ October 1, 20__ – March 31, 20__

Quarterly Report:

- ☐ January 1 – March 31, 20__
☐ April 1 – June 30, 20__
☐ July 1 – September 30, 20__
☐ October 1 – December 31, 20__

PREPARER CERTIFICATION

I hereby certify that, to the best of my knowledge and belief, the contents in this report are true and correct.

Full Name of Report Preparer:	Preparer's Signature:
Preparer's Job Title & Company/Employer:	Date Signed:
Preparer's Telephone Number: () _____ - _____ ext. _____	Preparer's Email Address:

For Grantees / UGLGs: Signature of the Chief Elected Official

Typed Name of the Chief Elected Official

Title

Date Signed

CDBG-PF & CDBG-PLNG Implementation Handbook

Contractor/Sub-Contractor Name & Address 1a.				Contractor FEIN # 1b.	Sub- Contractor FEIN # 1c.	Amount of Contract or Sub- Contract 1d.	Type of Trade Code (See below.) 1e.	Contractor or Sub- Contractor Business' Race / Ethnicity (See below.) 1f.	Woman Owned Business? (Yes or No) 1g.	Section 3 Business? (Yes or No) 1h.
Name	Street Address	City	State / ZIP							
<input type="checkbox"/> Contractor										
<input type="checkbox"/> Sub-Contractor										
<input type="checkbox"/> Contractor										
<input type="checkbox"/> Sub-Contractor										
<input type="checkbox"/> Contractor										
<input type="checkbox"/> Sub-Contractor										
<input type="checkbox"/> Contractor										
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<input type="checkbox"/> Contractor										
<input type="checkbox"/> Sub-Contractor										
<input type="checkbox"/> Contractor										
<input type="checkbox"/> Sub-Contractor										

PLEASE NOTE: If you need to list more than 9 (nine) Contractors or Sub-Contractors (in the space provided in this report), copy and attach additional page(s) to your MBE/WBE Report submission.

1e. Type of Trade Codes:

- | | |
|------------------------|---|
| 1 = New Construction | 6 = Professional |
| 2 = Substantial Rehab. | 7 = Tenant Services |
| 3 = Repair | 8 = Education / Training |
| 4 = Service | 9 = Architectural / Engineering Appraisal |
| 5 = Project Management | 0 = Other |

1f. Racial / Ethnic Codes:

- 1 = White Americans
- 2 = Black Americans
- 3 = Native Americans
- 4 = Hispanic Americans
- 5 = Asian / Pacific Americans
- 6 = Hasidic Jews

PLEASE NOTE: Download this form from <http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development>, or contact the assigned DEHCR Project Representative, to ensure the current version of this form for proper report submission has been obtained.

ATTACHMENT 9-D2: MBE/WBE REPORT (DEFINITIONS AND INSTRUCTIONS)

MBE/WBE SEMI-ANNUAL REPORT FORM DEFINITIONS:

1. A **Minority-owned Business Enterprise (MBE)** is a business that is both owned and controlled by minorities. This means that there must be not less than 51 percent minority ownership of the business (a business in which more than 50 percent of the ownership or control is held by one or more minority individuals, and more than 50 percent of the net profit or loss which accrues is to one or more minority individuals), and that the minority ownership must control the management and daily operations of the business. When 51% or more of the business is not owned and controlled by any single racial/ethnic category, enter the race/ethnicity code which best classifies the majority of employees working for the Contractor or Sub-Contractor.
2. A **Woman-owned Business Enterprise (WBE)** is a business that is both owned and controlled by women. This means that there must be not less than 51 percent women ownership of the business (a business in which more than 50 percent of the ownership or control is held by one or more female individuals, and more than 50 percent of the net profit or loss which accrues is to one or more female individuals), and that the women ownership must control the management and daily operations of the business.
3. A **Section 3 Business** is a business that provides economic opportunities to low-income & very low-income persons. A Section 3 Business must be able to provide documentation to support at least one of the following situations:
 - a. The business has at least 51 percent ownership by Section 3 residents (a business in which 51 percent or more of the ownership is held by one or more Section 3 residents, and 51 percent or more of the net profit or loss which accrues is to one or more Section 3 residents); OR
 - b. At least 30 percent of the full-time employees of the business include persons that are currently Section 3 residents, or were Section 3 residents within 3 (three) years of their date of first hire by the Section 3 business; OR
 - c. The business provides evidence, as required, of a commitment to sub-contract in excess of 25 percent of the dollar amount awarded of all sub-contracts to business concerns that meet one of the first two qualifications for being a Section 3 Business (as listed above).
4. A **Section 3 resident (or Section 3 person)** is an individual that:
 - a. Is a public housing resident; OR
 - b. Is a low-income or very low-income person (as defined below):
 - i. A **Low-Income** level is defined as being 80% (or less than 80%) of the median income of that area.
 - ii. A **Very Low-Income** level is defined as being 50% (or less than 50%) of the median income of that area.

MBE/WBE SEMI-ANNUAL REPORT FORM INSTRUCTIONS:

The Division of Energy, Housing and Community Resources' (DEHCR's) grant recipients are required to submit MBE/WBE Reports to the Division either Semi-Annually or Quarterly. Questions regarding project-specific reporting requirements should be directed to the assigned DEHCR Project Representative. For each MBE/WBE Report submitted, the following items must be completed:

- Provide your project's "Grantee/UGLG Name" and the "DEHCR Grant Agreement Number" information in the upper-right corner on the first page of the report.
- Check mark the appropriate box (e.g. Community Development Program, HOME RHD/HHR, or Housing Program, or ESG) to specify the DEHCR Program that is funding the project for which the MBE/WBE Report is being submitted.
- Check mark the appropriate box (e.g. Semi-Annual Report or Quarterly Report) to specify the type of report being submitted.
- Check mark the appropriate box (e.g. 4/1–9/30/20YY, 10/1/20YY–3/31/20YY, 1/1–3/31/20YY, 4/1–6/30/20YY, 7/1–9/30/20YY, or 10/1-12/31-20YY) to indicate which semi-annual or quarterly reporting period is applicable.
- **PREPARER CERTIFICATION:** Provide the name, job title, company/employer, telephone number, and email address of the person preparing this MBE/WBE report. The preparer must certify that they have prepared this report by signing and dating the report prior to submitting it to DEHCR.
- **All MBE/WBE Reports must be signed and dated** by the Chief Elected Official (i.e., Mayor, City Council President, Village President, Town Board Chairman, County Board Chairman, or County Executive), and contain the printed/typed name and title of the Chief Elected Official (CEO).
- **MBE/WBE CONTRACTOR & SUB-CONTRACTOR INFORMATION (Table on Page 2):** Begin by individually listing the **Business Name** (1a.) of **each Contractor and Sub-Contractor** awarded contracts (funded with program dollars) for the project during the reporting timeframe listed.
 - **For each** business (i.e. contract recipient) listed in the table:
 - Column **1a:** Indicate whether the business is a **Contractor** or **Sub-Contractor** by check marking the appropriate box. Also provide the **Street Address, City, State, & ZIP Code** for the business.
 - Column **1b:** For each business that is listed as a Contractor (1a.), provide that **Contractor's FEIN #**. *If a business is listed as a Sub-Contractor (1a.), provide the FEIN # of the Prime Contractor overseeing the Sub-Contractor's work on the project.*
 - Column **1c:** For each business that is listed as a Sub-Contractor (1a.), provide that **Sub-Contractor's FEIN #**. *If a business is listed as a Contractor (1a.), then leave the Sub-Contractor's FEIN # (1c.) blank.*

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Column **1d**: Provide the contracted **dollar amount** for the business' services and materials. **DO NOT DOUBLE-COUNT** overlapping contract amounts. Funds awarded by a Contractor for sub-contracted work to Sub-Contractor(s) should be listed with the Sub-Contractor(s) information, NOT with the Contractor's awarded dollar amount. (Refer to the examples provided below for further clarification.)

EXAMPLE #1: A project has awarded \$100,000 in funds to **each** of two (2) Contractors, for a total of \$200,000 during the current reporting period. Neither Contractor sub-contracts any work to Sub-Contractor(s). A portion of the MBE/WBE Report form would be completed as follows:

Contractor/Sub-Contractor Name & Address 1a.					Contractor FEIN # 1b.	Sub-Contractor FEIN # 1c.	Amount of Contract or Sub-Contract 1d.
Name	Street Address	City	State / ZIP				
<input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Sub-Contractor	ABC Construction	123 Main Street	Youreville	WI 54000	XX - XXXXXXXX		\$100,000.00
<input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Sub-Contractor	XYZ Construction	456 First Street	Youreville	WI 54000	XX - XXXXXXXX		\$100,000.00

EXAMPLE #2: A project has awarded \$100,000 in funds to **each** of two (2) Contractors, for a total of \$200,000 during the current reporting period. The first Contractor (ABC Construction) does not sub-contract any work to Sub-Contractor(s). The second Contractor (XYZ Construction) sub-contracts a **total** of \$25,000 (of their \$100,000 contract) to two (2) Sub-Contractors (DEF Plumbing & GHI Paving). A portion of the MBE/WBE Report form would be completed as follows:

Contractor/Sub-Contractor Name & Address 1a.					Contractor FEIN # 1b.	Sub-Contractor FEIN # 1c.	Amount of Contract or Sub-Contract 1d.
Name	Street Address	City	State / ZIP				
<input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Sub-Contractor	ABC Construction	123 Main Street	Youreville	WI 54000	XX - XXXXXXXX		\$100,000.00
<input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Sub-Contractor	XYZ Construction	456 First Street	Youreville	WI 54000	XX - XXXXXXXX		\$75,000.00
<input type="checkbox"/> Contractor <input checked="" type="checkbox"/> Sub-Contractor	DEF Plumbing	873 Main Street	Youreville	WI 54000	XX - XXXXXXXX (fgr. XYZ Constr.)	XX - XXXXXXXX	\$5,000.00
<input type="checkbox"/> Contractor <input checked="" type="checkbox"/> Sub-Contractor	GHI Paving	925 Main Street	Youreville	WI 54000	XX - XXXXXXXX (fgr. XYZ Constr.)	XX - XXXXXXXX	\$20,000.00

Column **1e**: Provide the **Trade Code** for the type of work that each business (1a.) was hired to perform. (Refer to the list of Trade Codes provided at the bottom of page 2.)

Column **1f**: Indicate whether each business is a **Minority-owned Business Enterprise (MBE)** by listing the **Race/Ethnicity Code** designation for each business. (Refer to the definition of an MBE listed on page 3. A list of race/ethnicity codes is provided at the bottom of page 2.)

PLEASE NOTE: If 51% or more of the business is **not** owned and controlled by any **single** racial/ethnic category, input the race/ethnicity code which best classifies the majority of minority employees working for the individual business.

Column **1g**: Indicate whether each business is classified as a **Woman-owned Business Enterprise (WBE)**. (*Refer to the definition of a WBE listed on page 3.*)

Column **1h**: Indicate whether each business is classified as a **Section 3 Business**. (*Refer to the definition of a Section 3 Business listed on page 3.*)

- Retain the completed **MBE/WBE Report** form in your project file **and submit a copy** of the completed report (email is preferred) to your assigned Project Representative at DEHCR.

PLEASE NOTE: If submitting the MBE/WBE Report via postage-paid mail, use the DEHCR mailing address (listed below):

ATTN: <Your Assigned DEHCR Project Representative>
Division of Energy, Housing and Community Resources
Wisconsin Department of Administration
P.O. Box 7970
Madison, WI 53707-7970

ATTACHMENT 9-E: SECTION 3 REPORT (TEMPLATE)

DOA/DEHCR
PO Box 7970
Madison, WI 53707-7970
DOADEHCR@wisconsin.gov
Fax (608) 266-5381



WISCONSIN DEPARTMENT OF
ADMINISTRATION

SECTION 3 REPORT

DOA AGREEMENT # _____
(Contract #)

CONTACT INFORMATION

Preparer's Name _____

Title _____

Telephone _____

Email _____

NAME OF GRANTEE _____

HUD REPORTING PERIOD **October 1, 2015 - September 30, 2016 (or Present, _____, if your project is closing this year)**

date

Complete one form for each program/contract with DECHR.

Please check program

CDBG _____

NSP _____

HOME _____

SHELTER PLUS CARE _____

CDBG-DR _____ (Disaster Recovery)

ETH _____

HOPWA _____

Part I: Employment and Training

Job Category	Number of New Hires	Number of New Hires that are Section 3 Residents	Number of Section 3 Trainees
Professionals			
Clerical			
Case Management			
Facilities/Maintenance			
Technical (Bookkeeping, IT, etc)			
Carpentry			
Masonry			
Plumbing			
Electrical			
Administration			
Define Other:			
Define Other:			
Define Other:			

Part II: Contracts Awarded

Construction Contracts

1. Total Dollar Amount of all contracts awarded on the project	\$
2. Total dollar amount of contracts awarded to Section 3 businesses	\$
3. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
4. Total number of Section 3 businesses receiving contracts	

Non-Construction Contracts

1. Total Dollar Amount of non-construction contracts awarded on the project	\$
2. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$
3. Percentage of the dollar amount that was awarded to Section 3 businesses	%
4. Total number of Section 3 businesses receiving non-construction contracts	

PLEASE NOTE: Download this form from <http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development>, or contact the assigned DEHCR Project Representative, to ensure the current version of this form for proper report submission has been obtained.

DOA/DEHCR
PO Box 7970
Madison, WI 53707-7970
DOADEHCR@wisconsin.gov
Fax (608) 266-5381



WISCONSIN DEPARTMENT OF
ADMINISTRATION

SECTION 3 REPORT

Part III: Best Efforts

Describe the Grantee's best efforts to give training and employment opportunities to LMI residents and/or businesses, check all that apply:

- | | |
|---|---|
| <input type="checkbox"/> Job Posting at Job Centers | <input type="checkbox"/> Job Posting in Community List Serves |
| <input type="checkbox"/> Job Posting in Local Newspaper/Shopper | <input type="checkbox"/> Job Posting at Public Municipal Building |
| <input type="checkbox"/> Job Posting at Housing Authority | <input type="checkbox"/> Job Posting at Technical College or University |
| <input type="checkbox"/> Website or Social Media Outreach | <input type="checkbox"/> Disadvantage Business Outreach |
| <input type="checkbox"/> No new hires during reporting period | <input type="checkbox"/> Project Complete – No Activity |
| <input type="checkbox"/> Other: _____ | |

Comments: _____

Signature of Preparer _____

Date _____

Printed Name of Preparer _____

Grantee's Signature _____

Date _____

PLEASE NOTE: Download this form from <http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development>, or contact the assigned DEHCR Project Representative, to ensure the current version of this form for proper report submission has been obtained.

ATTACHMENT 9-F: REPORTING REQUIREMENTS CHECKLIST

SEMI-ANNUAL REPORTS				
Form:		PLEASE NOTE: These forms are: <ul style="list-style-type: none"> • Due semi-annually as indicated in your executed CDBG Grant Agreement. • To be completed & submitted by the local Grant Administrator. 		
9-A	<i>Semi-Annual Report Certification</i>			
9-B	<i>Summary Narrative</i>			
9-C	<i>Labor Standards Enforcement Report</i>			
9-D	<i>MBE/WBE Report</i>			
9-E	<i>Section 3 Report</i>			

Annual Reporting				
Form:		Completed by:	Submit to:	Due:
9-E	<i>Annual Section 3 Report</i>	Grant Administrator	DEHCR Project Rep	To Be Announced by DEHCR on Annual Basis
SINGLE AUDIT				
Form:		Completed by:	Submit to:	Due:
11-B/ 11-C	<i>Annual Audit Letter</i>	Grant Administrator	DEHCR Project Rep	January 15
	<i>Single Audit Report</i>	External auditor	1.) DOA Audit Bureau 2.) DEHCR Project Rep	Per the Grant Agreement Timeline

LABOR STANDARDS			
Form:		Completed by:	Due:
7-C	<i>Labor Standards Officer Designee</i>	Grant Administrator	Upon execution of CDBG Agreement
7-D	<i>Request for Wage Decision and Response to Request</i>	Labor Standards Officer	Prior to advertising for bids
7-H	<i>Advertisement for Bids</i>	Chief Elected Official	Upon advertisement for a bid
7-J	<i>Notice of Contractor Award</i>	Labor Standards Officer	Upon awarding contract(s)
7-Q	<i>Section 5.7 Enforcement Report</i>	Labor Standards Officer	Upon finding any labor violations where underpayment is greater than \$1,000

FINANCIAL MANAGEMENT		
Form:		Due:
8-A	<i>Financial Management Contact Person</i>	Prior to executing the CDBG Agreement
8-A	<i>Depository Certification</i>	
8-A	<i>Signature Certification</i>	
8-B	<i>Request for Payment</i>	With each request for CDBG funds
8-C	<i>Cash Control Register (Up-to-date as of the Payment Request submission date)</i>	
8-D	<i>CDBG Disbursement Journal (Up-to-date as of the Payment Request submission date)</i>	
8-E	<i>Matching Funds Journal (Up-to-date as of the Payment Request submission date)</i>	
	<i>Supporting documentation (Invoices, cancelled checks, bank statements, etc.)</i>	

All reports are due to the assigned DEHCR Project Representative unless otherwise indicated. Electronic submission of reports is preferred. Any additional required documents listed in the *Implementation Handbook* (but which are not listed above) may be requested by the DEHCR Project Representative at any time.

ATTACHMENT 9-G: GRANT AGREEMENT TIMETABLE

August 5, 2016 – December 31, 2018 PF Performance Period [for two (2) full construction seasons]

Due Date	Activity
Prior to Construction	<ul style="list-style-type: none"> • Execute Grant Agreement. • Complete Environmental Review and obtain Certification Letter. Submit copy of Environmental Review Certification Letter to DOA CDBG Program Representative. • Establish record keeping system. • Establish financial management system. • Procure engineering and administrative services. • Submit draft or executed Administrative Contract(s) to DOA for review, if applicable. • Enter into the Administrative Contract(s), if applicable. • Complete acquisition and relocation requirements, and easement(s), if applicable. • Obtain federal and state wage rates, if applicable. • Complete Wage Decision Form 308. Submit to DOA for review. • Prepare and solicit construction bids. • Report date of bid advertisement and bid opening to DOA. • Submit Notice of Contractor Award form and construction start date to DOA. • Submit project schedule, bid tabulation summary, and updated project budget to DOA. • Obtain all necessary permits. • Hold pre-construction meeting. Submit meeting minutes to DOA.
January 15, 2017	<ul style="list-style-type: none"> • Submit Single Audit Statement for CY2016. • Submit Annual Section 3 Report for the period of October 1, 2015 through September 30, 2016 unless notified by DOA CDBG Program Representative of another submission date.
March 25, 2017	<ul style="list-style-type: none"> • Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of August 5, 2016 (grant award date) through March 31, 2017 unless notified by DOA CDBG Program Representative of another submission date.
April 15, 2017	<ul style="list-style-type: none"> • Submit Semi-Annual Section 3 Report, unless notified by DOA CDBG Program Representative of another submission date. Submit Semi-Annual Report Certification, and Semi-Annual Report Narrative, and supporting documentation. Include accomplishments and activities for the period of August 5, 2016 (grant award date) through March 31, 2017. Reporting forms must follow the guidance provided in the Implementation Handbook.
July 1, 2017	<ul style="list-style-type: none"> • Begin Construction. Document and report progress and/or delays to DOA.

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September 25, 2017	<ul style="list-style-type: none"> • Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2017 through September 30, 2017 unless notified by DOA CDBG Program Representative of another submission date.
September 30, 2017	<ul style="list-style-type: none"> • Submit Single Audit Report and Management Letter for CY2016, if applicable.*
October 15, 2017	<ul style="list-style-type: none"> • Submit Semi-Annual Section 3 Report, unless notified by DOA CDBG Program Representative of another submission date. Semi-Annual Report Certification, and Semi-Annual Report Narrative, and supporting documentation. Include accomplishments and activities for the period of April 1, 2017 through September 30, 2017. Reporting forms must follow the guidance provided in the Implementation Handbook. • Complete Fair Housing Actions, as described in Attachment F. Submit Fair Housing Report and supporting documentation to DOA, unless notified by DOA CDBG Program Representative of another submission date.
January 15, 2018	<ul style="list-style-type: none"> • Submit Single Audit Statement for CY2017. Arrange for Single Audit, if applicable. • Submit Annual Section 3 Report for the period of October 1, 2016 through September 30, 2017 unless notified by DOA CDBG Program Representative of another submission date.
March 25, 2018	<ul style="list-style-type: none"> • Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of October 1, 2017 through March 31, 2018 unless notified by DOA CDBG Program Representative of another submission date.
April 15, 2018	<ul style="list-style-type: none"> • Conduct second Public Hearing to report project progress to local community. Submit meeting notice, attendance list, and meeting minutes to DOA. • Submit Semi-Annual Section 3 Report, unless notified by DOA CDBG Program Representative of another submission date. Submit Semi-Annual Report Certification, and Semi-Annual Report Narrative, and supporting documentation. Include accomplishments and activities for the period of October 1, 2017 through March 31, 2018. Reporting forms must follow the guidance provided in the Implementation Handbook.
September 25, 2018	<ul style="list-style-type: none"> • Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2018 through September 30, 2018 unless notified by DOA CDBG Program Representative of another submission date.
September 30, 2018	<ul style="list-style-type: none"> • Submit Single Audit Report and Management Letter for CY2017, if applicable.*

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October 15, 2018	<ul style="list-style-type: none">• Submit Semi-Annual Section 3 Report, unless notified by DOA CDBG Program Representative of another submission date. Semi-Annual Report Certification, and Semi-Annual Report Narrative, and supporting documentation. Include accomplishments and activities for the period of April 1, 2018 through September 30, 2018. Reporting forms must follow the guidance provided in the Implementation Handbook.
October 31, 2018	<ul style="list-style-type: none">• Complete all Construction Activities.• End of Construction Period. <i>No non-administrative project expenses incurred after the date.</i>
December 31, 2018	<ul style="list-style-type: none">• Submit Final Payment Request and supporting documents.• Submit Project Completion Report and supporting documents.
January 15, 2019	<ul style="list-style-type: none">• Submit Single Audit Statement for CY2018. Arrange for Single Audit, if applicable.• Submit Annual Section 3 Report for the period of October 1, 2017 through September 30, 2018 unless notified by DOA CDBG Program Representative of another submission date.
September 30, 2019	<ul style="list-style-type: none">• Submit Single Audit Report and Management Letter for CY2018, if applicable.*

ADDITIONAL NOTES: (optional)

ADDITIONAL NOTES: (optional)